

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Harriet L. Robinson

Serial No.: 07/855,562

Filed: March 23, 1992

Title: IMMUNIZATION BY INNOCULATION OF DNA
TRANSCRIPTIONAL UNIT

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being
deposited with the United States Postal Service as First
Class Mail in an envelope addressed to Honorable
Commissioner of Patents and Trademarks, Washington,
D.C. 20231 on 5-19-92
Hamilton, Brook, Smith & Reynolds, P.C.

John Marcum 5-19-92
Signature Date

Transmittal of Declaration/Power of Attorney

The Honorable Commissioner of
Patents and Trademarks
Washington, D.C. 20231

Sir:

Transmitted herewith is an executed Declaration/Power
of Attorney document for filing in the above-referenced
case. Enclosed is a check in the amount of \$60.00 for the
surcharge for filing the Declaration/Power of Attorney
document later than the filing date of the application.

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60.00 CK

-2-

A copy of the Verified Statement claiming small entity is being filed concurrent with this response and is also enclosed.

Please charge any additional fees due in this matter to Applicant's Attorney's Deposit Account No. 08-0380. Two copies of this letter are enclosed for accounting purposes.

Respectfully submitted,

A handwritten signature in cursive script that reads "Patricia Granahan".

Patricia Granahan

Registration No. 32,227

Attorney for Applicant

(617) 861-6240

Dated: May 19, 1992
Lexington, MA 02173

05/19/92

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 5-19-92
Signature Date

Transmittal of Verified Statement
and Request for Reimbursement

The Honorable Commissioner of
Patents and Trademarks
Washington, D.C. 20231

Sir:

Applicant's Attorney submits herewith for filing in
the above-identified Patent Application a Verified
Statement Claiming Small Entity Status - Nonprofit
Organization.

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In view of the filing of the Verified Statement, Applicant's Attorney hereby requests a refund of a \$345.00, one-half of the original filing fees (\$690.00) to be credited to Deposit Account No. 08-0380. Two duplicate copies of the transmittal letter are enclosed for accounting purposes.

Respectfully submitted,

A handwritten signature in cursive script, reading "Patricia Granahan".

Patricia Granahan

Registration No. 32,227

Attorney for Applicant

(617) 861-6240

Dated: May 19, 1992
Lexington, MA 02173

Applicant or Patentee Harriet L. Robinson Attorney's
Serial or Patent No.: 07/855,562 Docket No.: UMMC91-03
Filed or Issued: March 23, 1992
Immunization By Inoculation of DNA Transcriptional Unit



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d) - NONPROFIT ORGANIZATION)

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION University of Massachusetts Medical Center

ADDRESS OF ORGANIZATION 55 Lake Street, North

Worcester, Massachusetts

TYPE OF ORGANIZATION

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE
(26 USC 501(a) and 501(c)(3))

☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF
STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)

(CITATION OF STATUTE _____)

☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE
(26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF
AMERICA

☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF
STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES
OF AMERICA

(NAME OF STATE _____)

(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled _____

by inventor(s)

described in

☐ the specification filed herewith

☐ application serial no. _____, filed _____

☐ patent no. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

DAVID L. ENTIN

Assistant Dean For

NAME OF PERSON SIGNING _____

Research Administration

TITLE IN ORGANIZATION _____

ADDRESS OF PERSON SIGNING _____

55 Lake Avenue, North Worcester, MA 01655

SIGNATURE _____

David L. Entin

DATE _____

5.7.92